

Application filed electronically through EFS-Web

FORM PTO-1390  
(REV. 04/2006)

U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
**1826.1183**

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.  
**PCT/JP2004/004187**

INTERNATIONAL FILING DATE  
**March 25, 2004**

PRIORITY DATE CLAIMED

**TITLE OF INVENTION**

**ADAPTIVE POLARIZATION ADJUSTMENT APPARATUS FOR CONTROLLING POLARIZATION OF LIGHT  
INPUTTED TO POLARIZATION-MAINTAINING WAVEGUIDE COMPONENTS**

**APPLICANT(S) FOR DO/EO/US**

**Rainer HAINBERGER et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3.  This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (22) indicated below.
4.  The US has been elected (Article 31).
5.  A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a.  is attached hereto (required only if not communicated by the International Bureau).
  - b.  has been communicated by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US).
6.  An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a.  is attached hereto.
  - b.  has been previously submitted under 35 U.S.C. 154(d)(4).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a.  are attached hereto (required only if not communicated by the International Bureau).
  - b.  have been communicated by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10.  An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
11.  For publication of assignee information under 37 CFR 1.215(b), list the assignee as FUJITSU LIMITED of Kawasaki, Japan. The Assignment papers will be filed later.

**Items 11 to 21 below concern document(s) or information included:**

12.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13.  An assignment document and separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included for recording.
14.  A preliminary amendment.
15.  An Application Data Sheet under 37 CFR 1.76.
16.  A substitute specification.
17.  A power of attorney and/or change of address letter.
18.  A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
19.  A second copy of the published international application under 35 U.S.C. 154(d)(4).
20.  A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
21.  Other items or information: Copy of cover page of International Publication No. WO 2005/093497; & Forms PCT/ISA/202, PCT/ISA/224, PCT/IB/301, PCT/IB/308, PCT/IB/311, PCT/ISA/220, PCT/ISA/237.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)	INTERNATIONAL APPLICATION NO. <b>PCT/JP2004/004187</b>	ATTORNEY'S DOCKET NUMBER <b>1826.1183</b>		
22. <input checked="" type="checkbox"/> The following fees are submitted:		APPLICANT USE      OFFICE USE ONLY		
<input checked="" type="checkbox"/> a) Basic National Fee ..... \$300.00		\$300.00		
23. <input checked="" type="checkbox"/> b) Examination Fee If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... \$0		\$200.00		
All other situations ..... \$200.00				
24. <input checked="" type="checkbox"/> c) Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... \$0		\$500.00		
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Search Authority ..... \$100				
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400				
All other situations ..... \$500				
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>\$1000.00</b>		
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each addition 50 sheets of paper or fraction thereof.				
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Rate	
38 - 100 =	0 /50=	0	X 250.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).		\$		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	22 - 20 =	2	x \$50.00	\$100.00
Independent claims	1 - 3 =	0	X \$200.00	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+ \$360.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>\$1100.00</b>		
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.		\$		
<b>SUBTOTAL =</b>		<b>\$1100.00</b>		
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$		
<b>TOTAL NATIONAL FEE =</b>		<b>\$1100.00</b>		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$		
<b>TOTAL FEES ENCLOSED =</b>		<b>\$1100.00</b>		
Amount to be refunded:			\$	
Amount to be charged:			\$	
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>19-3935</u> in the amount of <u>\$1100.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any Overpayment to Deposit Account No. 19-3935. A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.				
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.		<u>/J. Randall Beckers/</u>		
SEND ALL CORRESPONDENCE TO:  Staas & Halsey LLP 1201 New York Avenue, N.W., 7th Floor Washington, DC 20005		SIGNATURE <u>J. Randall Beckers</u>		
		NAME <u>June 19, 2006</u>		
		Date <u>30,358</u>		
		REGISTRATION NUMBER		